

Policy: 1120
Procedure: 1120.01
Chapter: Records
**Rule: Receiving of Court Commitment
Packets and
Distribution/Organization of
Records to the Juvenile's Files**

Effective: 03/13/08
Replaces: 1120.01
Dated: 04/01/93

Purpose:

The Arizona Department of Juvenile Corrections (ADJC) develops and maintains the juvenile's files which shall contain accurate and complete records of commitment documents, assessment reports, program reports, and documentation regarding significant decisions, events, and incidents involving the juvenile.

Rules:

1. Upon arrival for Admission, the **COMMITTING COUNTY** shall provide the checklist for commitment to ADJC and a packet containing all required documents in accordance with Policy 4010 Reception, Assessment, and Classification, Procedure 4010.01 Juvenile Reception and Screening, and Form 4010.01A Legal Requirements Commitment Checklist.
2. The **YOUTH PROGRAM OFFICER III (YPO III) CASEWORKER, PSYCHOLOGY ASSOCIATE (PSA II), AND RECEPTION, ASSESSMENT, AND CLASSIFICATION (RAC) MEDICAL PERSONNEL** shall review the commitment packet to ensure that all required documents have been provided and that the admission meets all legal and departmental standards.
 - a. If all documents required for admission are present then the **RAC YPO III CASEWORKER** shall forward the Checklist for Commitment to ADJC and the packet to the Records Technician;
 - b. The **PSA II** shall:
 - i. Remove all confidential medical documents in accordance with Procedure 3020.02 Confidentiality of Medical/Dental Health Records;
 - ii. Forward the required mental health information from the packet to the facility Medical Records Librarian (MRL) for the creation of the mental health file in accordance with Procedure 1120.06 Maintenance of the Mental Health Records.
 - c. If the required admission documents are not present the **YPO III CASEWORKER** shall ask the transporting officer to wait with the juvenile in the admission area, and then notify the RAC Coordinator or the Central Office Records Supervisor of the missing documents;
 - d. The **RAC COORDINATOR OR THE CENTRAL OFFICE RECORDS MANAGEMENT SUPERVISOR (CORMS)** shall make every effort to contact the responsible Juvenile Court in an attempt to obtain the required documents and have them faxed or delivered as soon as possible, so that the juvenile can be admitted.
3. The **RECORDS TECHNICIAN AT RAC, ADOBE MOUNTAIN SCHOOL, AND BLACK CANYON SCHOOL** shall develop the juvenile's Field File upon the juvenile's admission to ensure the following:
 - a. The outside of the file is marked "confidential" and the file is maintained in a secure area.
 - i. Any transfer or removal of Field Files from the assigned records area shall be controlled and documented by the facility Records Technician.
 - b. The juvenile(s) Field File contains the original copies of all juvenile related documentation:
 - i. All entries in the Field File are dated (month/day/year); and
 - ii. Identified with the name of the employee who recorded the information.
 - c. After all confidential documents have been removed **RECORDS PERSONNEL** shall:
 - i. Immediately make three complete copies of the commitment packets for the Psychology Associate, assigned Parole Officer, and Central Office Records; and
 - ii. Send one copy to Victims' Rights Office if there are victim information sheets.
4. The **RECORDS TECHNICIAN** shall ensure that the Field File contains six essential parts with each part filed with the newest information on top.
 - a. **PART ONE** shall include the following identification information:
 - i. Face Sheet (Initial intake information);

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- ii. Offense Sheet;
- iii. Birth Certificate/Social Security Number;
- iv. Juvenile Property Form;
- v. Escape Bulletin with photos;
- vi. Gang Information Card;
- vii. Immigration Detainer;
- viii. Immigration and Customs Enforcement (ICE);
- ix. Juvenile Record;
- x. Fingerprint Cards;
- xi. Juvenile Release Checkout;
- xii. Business Office Clearance;
- xiii. Checklist of information for new commits;
- xiv. Deoxyribonucleic Acid (DNA) Forms 4010.10A DNA Information Request Facsimile and 4010.10B DNA Parent Letter, if required;
- xv. Sex Offender Registration forms;
- xvi. Mail;
- xvii. Phone logs; and
- xviii. Visitor application;
- b. **PART TWO** shall contain Reception, Assessment, and Classification documentation:
 - i. RAC Cover Sheet;
 - ii. Form 4010.04A RAC Classification Placement Decision Summary;
 - iii. Administrative Forms ([A-Form] the original (white) copy of the A-Form shall always be filed in the Field File);
 - iv. Conditions of Supervision;
 - v. Signed Release-of-Information forms, when required;
 - vi. All Assessment forms, reports, and information;
 - vii. Length of Stay;
 - viii. Environmental Structure;
 - ix. Strategies for Juvenile Supervision (SJS); and
 - x. Title XIX Eligibility Determination Form.
- c. **PART THREE** shall include specific treatment information:
 - i. All Continuous Case Plans (CCPs);
 - ii. Readiness for Release;
 - iii. SRB notification;
 - iv. Superintendent Review Board (SRB) Checklist;
 - v. SRB Review Board results;
 - vi. Criminogenic and Protective Factors Assessment (CAPFA);
 - vii. Referral for Counseling Service/Special Programs;
 - viii. Letters to the parent/guardian;
 - ix. Child Protective Services (CPS) Review Hearing;
 - x. Community Corrections Monthly MDT/Staffing Update; and
 - xi. Continuous Case Plan Community Report.
- d. **PART FOUR** shall contain the following Education information:
 - i. Transcripts, Certificates of completion, General Equivalency Diploma (GED);
 - ii. Education records;
 - iii. School progress report;
 - iv. Individualized Education Plans (IEP) will not be maintained in this file; and
 - v. Behavioral Observation Classroom.
- e. **PART FIVE** shall provide information relative to Incident Reports and Investigations:
 - i. Incident Reports;
 - ii. Follow-up investigations; and
 - iii. Debriefing reports.
- f. **PART SIX** shall contain the following court and police reports:
 - i. Court Order of Commitment;
 - ii. Checklist for Commitment to ADJC ;

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- iii. Chronological History;
- iv. Determination of Guardianship notice(s) from CPS and Department of Economic Security (DES);
- v. Minute Entries;
- vi. County Social History;
- vii. Probation Reports;
- viii. Subpoenas;
- ix. Juvenile Online Tracking System (JOLTS) profile;
- x. Disposition Report/court papers;
- xi. Police reports;
- xii. Interstate Compact;
- xiii. Decision of Hearing Officer;
- xiv. Person Receipt;
- xv. Victim Notification letter;
- xvi. Flag (open charges); and
- xvii. Certificate of Discharge.

5. The **FACILITY RECORDS TECHNICIAN, PAROLE ADMINISTRATOR, AND PAROLE OFFICER** shall ensure that copies of the following specific juvenile identification and related Court documentation are forwarded to the CORMS to develop the juvenile's Central Office file:

- a. Pre-Dispositional reports;
- b. Face Sheet (Initial Intake Information Check List);
- c. Checklist for Commitment to ADJC;
- d. Disposition Minute Entry;
- e. Court Order of Commitment;
- f. JOLTS Profile;
- g. Additional Minute Entries;
- h. Chronological history;
- i. Birth Certificate;
- j. Copy of the Social Security Card;
- k. Police Reports for Committing Offense; and
- l. DNA forms 4010.10A DNA Information Request Facsimile and 4010.10B DNA Parent Letter, if required.

6. **ADJC EMPLOYEES** shall forward all juvenile related documentation to the current custodian of the Field File. Custodian is defined as the person or location where the file is currently held.

- a. The **FACILITY RECORDS TECHNICIAN AND PAROLE OFFICER** shall file documentation chronologically in the Field File;
- b. **ONLY AUTHORIZED RECORDS AND PAROLE EMPLOYEES** shall file material in the juvenile Field File. Refer to access information in Procedure 1120.02 Juvenile Field File-Access, Check-Out, and Transfer of Files;
- c. The **FACILITY RECORDS TECHNICIAN AND PAROLE OFFICERS** shall file:
 - i. The non-confidential portions of the CAPFA;
 - ii. The juvenile's CCP;
 - iii. Copies of MDT's;
 - iv. Progress reviews; and
 - v. Any other related reports, including all Incident Reports.
- d. The **PAROLE OFFICER** shall:
 - i. Ensure that all treatment documentation from contracted providers is forwarded to the Parole Officer who has custody of the Field File, and include the following information in the Field File:
 - (1) Involving juvenile-specific progress reviews;
 - (2) Exit summaries; and/or
 - (3) Incident Reports.

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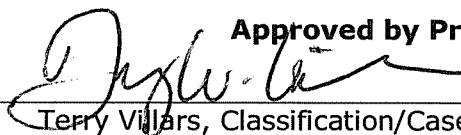
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- ii. Adhere to ARS §13-509, noting that psychological notes/evaluations are kept separate and marked confidential/restricted data, and should be forwarded to the Custodian of Medical Records (MRL) at the juvenile's previous safe school;
 - iii. Shred or forward excess copies of documents to Central Office Records for storage, marked "shred".
7. The **CORMS, PAROLE OFFICER OR CURRENT CUSTODIAN OF THE FIELD FILE** shall ensure that Minute Entries are admitted into the juvenile's Field File. The Minute Entries may include but are not limited to the following:
 - a. Transportation Order;
 - b. Notice of Court Date;
 - c. Notice of Restitution Order;
 - d. Disposition Hearing;
 - e. Advisory Hearing;
 - f. Probation Hearing;
 - g. Order of Commitment;
 - h. Order to release juvenile;
 - i. Change of Plea Hearing; and
 - j. Adjudication Hearing.
8. The **CORMS** shall ensure that:
 - a. Any Minute Entry received from the Clerk of the Court is scanned into Youthbase;
 - b. An email is sent to the Attorney General Liaison and the original Minute Entry is kept at Central Office Records;
 - c. Active Minutes Entries inadvertently sent directly from the Court to the secure facilities are forwarded to the CORMS.
9. The **CORMS** shall send an email notification to the YPO III Caseworker, and the Parole Administrator each time a Minute Entry is scanned into Youthbase. The **CASE MANAGER/YPO III** shall then:
 - a. Review the Minute Entry and make the necessary updates in Youthbase;
 - b. Forward copies to the secure facility Records Clerk to be filed in the juvenile's Field File;
 - c. The **PAROLE ADMINISTRATOR** shall forward the Minute Entry to the assigned Parole Officer. The **ASSIGNED PAROLE OFFICER** shall:
 - i. Review and file the Minute Entry;
 - ii. Send an email to Central Office Accounting when a Minute Entry that includes restitution is scanned into Youthbase;
 - iii. Send an email to Inspections and Investigations Division (IID) when a Minute Entry that includes information on a juvenile facing criminal prosecution for personal assaults is scanned into Youthbase;
 - iv. Send an email to the Victims' Rights Office when a Minute Entry that includes Human Immunodeficiency Virus (HIV) or Deoxyribonucleic Acids (DNA) testing is scanned into Windows Youthbase.

Signature Date

3/13/2008

Approved by Process Owner

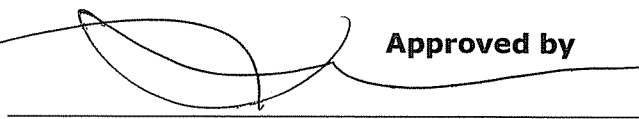


Terry Villars, Classification/Case Management Administrator

Effective Date

3/13/08

Approved by



Michael D. Branham, Director